



TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

		Application No.	10/675,165
		Filing Date	September 30, 2003
		First Named Inventor	Ernie F. Brickell
		Art Unit	2131
		Examiner Name	Unassigned
Total Number of Pages in This Submission	6	Attorney Docket Number	42P16807

ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input checked="" type="checkbox"/> PTO/SB/08 <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Basic Filing Fee <input type="checkbox"/> Declaration/POA <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <div style="border: 1px solid black; height: 40px; width: 100%;"></div>
<div style="border: 1px solid black; height: 40px; width: 100%;"></div>		
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	William W. Schaal, Reg. No. 39,018 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	
Date	April 5, 2004

CERTIFICATE OF MAILING/TRANSMISSION

I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Typed or printed name	Corrinn R. Davis
Signature	
Date	April 5, 2004



FEE TRANSMITTAL for FY 2004

Effective 01/01/2004. Patent fees are subject to annual revision.

Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT **(\$)**

Complete if Known

Application Number	10/675,165
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First Named Inventor	Ernie F. Brickell
Examiner Name	Unassigned
Art Unit	2131
Attorney Docket No.	42P16807

METHOD OF PAYMENT (check all that apply)

Check Credit card Money Order Other None
 Deposit Account

Deposit Account Number **02-2666**

Deposit Account Name **Blakely, Sokoloff, Taylor & Zafman LLP**

The Commissioner is authorized to: (check all that apply)

Charge fee(s) indicated below Credit any overpayments
 Charge any additional fee(s) or underpayment of fees as required under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.
 Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)		(\$)			

2. EXTRA CLAIM FEES

Total Claims	Independent Claims	Extra Claims	Fee from below	Fee Paid
		20**	=	
		3	=	

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1202	18	2202	9	Claims in excess of 20	
1201	86	2201	43	Independent claims in excess of 3	
1203	290	2203	145	Multiple Dependent claim, if not paid	
1204	86	2204	43	**Reissue independent claims over original patent	
1205	18	2205	9	**Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)		(\$)			

**or number previously paid, if greater. For Reissues, see below

3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)
1051	130	2051	65 Surcharge - late filing fee or oath
1052	50	2052	25 Surcharge - late provisional filing fee or cover sheet.
2053	130	2053	130 Non-English specification
1812	2,520	1812	2,520 For filing a request for <i>ex parte</i> reexamination
1804	920*	1804	920* Requesting publication of SIR prior to Examiner action
1805	1,840*	1805	1,840* Requesting publication of SIR after Examiner action
1251	110	2251	55 Extension for reply within first month
1252	420	2252	210 Extension for reply within second month
1253	950	2253	475 Extension for reply within third month
1254	1,480	2254	740 Extension for reply within fourth month
1255	1,210	2255	605 Extension for reply within fifth month
1404	330	2401	165 Notice of Appeal
1402	330	2402	165 Filing a brief in support of an appeal
1403	290	2403	145 Request for oral hearing
1451	1,510	2451	1,510 Petition to institute a public use proceeding
1452	110	2452	55 Petition to revive - unavoidable
1453	1,330	2453	665 Petition to revive - unintentional
1501	1,330	2501	665 Utility issue fee (or reissue)
1502	480	2502	240 Design issue fee
1503	640	2503	320 Plant issue fee
1460	130	2460	130 Petitions to the Commissioner
1807	50	1807	50 Processing fee under 37 CFR 1.17(q)
1806	180	1806	180 Submission of Information Disclosure Stmt
8021	40	8021	40 Recording each patent assignment per property (times number of properties)
1809	770	1809	385 Filing a submission after final rejection (37 CFR § 1.129(a))
1810	770	2810	385 For each additional invention to be examined (37 CFR § 1.129(b))
1801	770	2801	385 Request for Continued Examination (RCE)
1802	900	1802	900 Request for expedited examination of a design application
Other fee (specify)			

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$)

SUBMITTED BY

Name (Print/Type)	William W. Schaal	Registration No. (Attorney/Agent)	39,018	Telephone	(714) 557-3800
Signature				Date	04/05/04

Based on PTO/SB/17 (0-03) as modified by Blakely, Sokoloff, Taylor & Zafman (wir) 02/10/2004.
SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

ERNIE F. BRICKELL

Application No.: 10/675,165

Filed: September 30, 2003

For: **A Platform And Method For Establishing
Trust
Without Revealing Identity**

Art Group: 2131

Examiner: Unassigned

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted before the mailing of a first Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

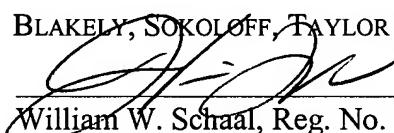
The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Applicant has concurrently submitted an electronic Information Disclosure Statement (IDS) for the above-referenced patent application. In the concurrently filed electronic IDS submission, it was requested that any requisite fees be debited from Deposit Account 02-2666. Applicant respectfully requests that only one fee be debited for these concurrently filed IDS submissions if such fees are required.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: April 05, 2004



William W. Schaal, Reg. No. 39,018

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Corinn R. Davis

04-05-04

Date



Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <small>(Use as many sheets as necessary)</small>		<i>Complete if Known</i>	
		Application Number	10/675165
		Filing Date	September 30, 2003
		First Named Inventor	Brickell, Ernest
		Group Art Unit	Unknown
		Examiner Name	Unknown
Sheet 2 of 3		Attorney Docket No: 42P16807	

OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS				
Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.		T ²
		BERG, CLIFF , "How Do I Create a Signed Applet?", <u>Dr. Dobb's Journal</u> , (08/1997),1-9		
		BRANDS, STEFAN , "Restrictive Blinding of Secret-Key Certificates", <u>SPRINGER-VERLAG XP002201306</u> , (1995),Chapter 3		
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		COMPAQ COMPUTER CORPORATION, et al., "Trusted Computing Platform Alliance (TCPA) Main Specification Version 1.1a", (12/2001),1-321		
		DAVIDA, GEORGE I., et al., "Defending Systems Against Viruses through Cryptographic Authentication", <u>Proceedings of the Symposium on Security and Privacy</u> , IEEE Comp. Soc. Press, ISBN 0-8186-1939-2,(May 1989),		
		GOLDBERG, ROBERT P., "Survey of Virtual Machine Research", <u>COMPUTER Magazine</u> , (06/1974),34-35		
		GONG, LI , et al., "Going Behind the Sandbox: An Overview of the New Security Architecture in the Java Development Kit 1.2", <u>Proceedings of the USENIX Symposium on Internet Technologies and Systems</u> , Monterey, CA,(12/1997),		
		GUM, P. H., "System/370 Extended Architecture: Facilities for Virtual Machines", <u>IBM J. Research Development</u> , Vol 27, Number 6, (11/1983),530-544		
		HEINRICH, JOE , "MIPS R4000 Microprocessor User's Manual, Second Edition", <u>Chapter 4 "Memory Management</u> ", (6/11/1993),61-97		
		IBM, "Information Display Technique for a Terminate Stay Resident Program IBM Technical Disclosure Bulletin", <u>TDB-ACC-No. NA9112156</u> , Vol. 34, Issue 7A, (12/1/1991),156-158		
		INTEL, "IA-32 Intel Architecture Software Developer's Manual", <u>Volume 3: System Programming Guide</u> , Intel Corporation - 2003,13-1 through 13-24		
		INTEL, "Intel386 DX Microprocessor 32-Bit CMOS Microprocessor With Integrated Memory Management", (1995),5-56		
		KARGER, PAUL A., et al., "A VMM Security Kernel for the VAX Architecture", <u>Proceedings of the Symposium on Research in Security and Privacy</u> , <u>XP010020182</u> , ISBN 0-8186-2060-9, Boxborough, MA, (5/7/1990),2-19		
		KASHIWAGI, KAZUHIKO , et al., "Design and Implementation of Dynamically Reconstructing System Software", <u>Software Engineering Conference</u> , Proceedings 1996 Asia-Pacific Seoul, South Korea 4-7 Dec. 1996, Los Alamitos, CA USA, IEEE Comput. Soc, US, ISBN 0-8186-7638-8,(1996),		
		LAWTON, KEVIN , et al., "Running Multiple Operating Systems Concurrently on an IA32 PC Using Virtualization Techniques", <u>http://www.plex86.org/research/paper.txt</u> , (11/29/1999),1-31		

EXAMINER

DATE CONSIDERED



Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)		<i>Complete if Known</i>	
		Application Number	10/675165
		Filing Date	September 30, 2003
		First Named Inventor	Brickell, Ernest
		Group Art Unit	Unknown
		Examiner Name	Unknown
Sheet 3 of 3		Attorney Docket No: 42P16807	

OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		LUKE, JAHN , et al., "Replacement Strategy for Aging Avionics Computers", <u>IEEE AES Systems Magazine</u> , XP002190614, (March 1999),	
		MENEZES, OORSCHOT , "Handbook of Applied Cryptography", <u>CRC Press LLC, USA</u> XP002201307, (1997),475	
		MOTOROLA, "M68040 User's Manual", (1993),1-1 to 8-32	
		RICHT, STEFAN , et al., "In-Circuit-Emulator Wird Echtzeittauglich", <u>Elektronik, Franzis Verlag GMBH, Munchen, DE</u> , Vol. 40, No. 16, XP000259620,(100-103),8-6-1991	
		ROBIN, JOHN S., et al., "Analysis of the Pentium's Ability to Support a Secure Virtual Machine Monitor", <u>Proceedings of the 9th USENIX Security Symposium</u> , XP002247347, Denver, Colorado, (8/14/00),1-17	
		ROSENBLUM, M. , "Virtual Platform: A Virtual Machine Monitor for Commodity PC", <u>Proceedings of the 11th Hotchips Conference</u> , (8/17/1999),185-196	
		SAEZ, SERGIO , et al., "A Hardware Scheduler for Complex Real-Time Systems", <u>Proceedings of the IEEE International Symposium on Industrial Electronics</u> , XP002190615,(July 1999),43-48	
		SHERWOOD, TIMOTHY , et al., "Patchable Instruction ROM Architecture", <u>Department of Computer Science and Engineering, University of California, San Diego, La Jolla, CA</u> , (Nov. 2001),	

EXAMINER

DATE CONSIDERED